

01/04/02
Jc796 U.S. PTO

31-09-02

12

UTILITY PATENT APPLICATION TRANSMITTAL	Attorney Docket No.	FUJ 99228 CON
	First Inventor	Katsuyoshi MATSUURA
	Date Filed	JANUARY 4, 2002
	Express Mail Label No.	EL523797895US

1036 U.S. PTO
TU/040548
01/04/02

APPLICATION ELEMENTS	Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
1 <input checked="" type="checkbox"/> Fee Transmittal Form 2 <input checked="" type="checkbox"/> Specification [43 pages] - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R&D - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings - Detailed Description - Claim(s) - Abstract of the Disclosure 3 <input checked="" type="checkbox"/> Drawings(g) [25 sheets] 4 <input checked="" type="checkbox"/> Oath or Declaration a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from prior appl. (37 C.F.R. § 1.63(d)) i <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).	5 <input type="checkbox"/> Microfiche Computer Program (Appendix) 6. Nucleotide/Amino Acid Sequence(if applicable) a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of said copies ACCOMPANYING APPLICATION PARTS 7. <input type="checkbox"/> Assignment Papers (cover sheet/document(s)) 8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statemt <input type="checkbox"/> Power of Attorney (when there is an assignee) 9. <input type="checkbox"/> English Translation 10. <input checked="" type="checkbox"/> IDS & Form 1449 <input type="checkbox"/> Copies of IDS Citations 11. <input checked="" type="checkbox"/> Preliminary Amendment 12 <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) 13 <input type="checkbox"/> Small Entity <input type="checkbox"/> Statement filed in prior application—Status still proper and desired 14 <input type="checkbox"/> Certified Copy of Priority Document(s) 15 <input type="checkbox"/> Other: Check for \$1034.00

*NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27). EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

16. If a **CONTINUING APPLICATION**,

☒ Continuation ☐ Divisional ☐ Continuation-in-part of prior App. No. 09/551,233 filed April 17, 2000, which was a Continuation-in-part of 09/429,984, filed Oct. 29, 1999.

FOR CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. **CORRESPONDENCE ADDRESS**

☒ Customer Number of Bar Code Label  or ☐ Correspondence address below

Name

25235

PATENT TRADEMARK OFFICE

Address

City

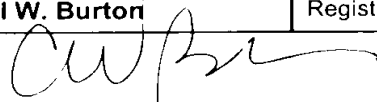
State

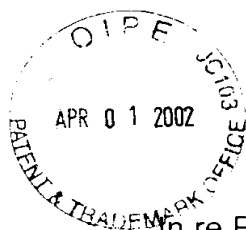
Zip

Country

Telephone

Fax

Name (Print/Type)	Carol W. Burton	Registration No.	35,465
(Signature)		Date	January 4, 2002



Attorney Docket No. FUJ 99228 CON
Client Matter No. 80458.0004.002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Katsuyoshi MATSUURA, et al.

Serial No. 10/040,548

Filed: January 4, 2002

Title: SEMICONDUCTOR DEVICE HAVING A
FERROELECTRIC CAPACITOR AND A
FABRICATION PROCESS THEREOF

Examiner:

Art Unit: 2823

CERTIFICATE OF MAILING BY EXPRESS MAIL

Office of Initial Patent Examination
Customer Service Center
Assistant Commissioner for Patents
Washington, D.C. 20231


Sir:

The undersigned hereby certifies that the attached


1. Request to Corrected Application Papers;
2. Copy of Notice to File Corrected Application Papers;
3. Formal Drawings (25 sheets);
4. Certificate of Mailing by Express Mail;
5. Return Card,

relating to the above application, were deposited as "Express Mail," Mailing Label No. EL936771371US with the U.S. Postal Service, addressed to Box: Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231, on April 1, 2002.

April 1, 2002


Mailer

April 1, 2002


Carol W. Burton, Reg. No. 35,465
Hogan & Hartson L.L.P.
1200 17th Street, Suite 1500
Denver, Colorado 80202
Telephone: (303) 454-2454
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FEE TRANSMITTAL for FY 2002

Complete if Known

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 1034.00

Application Number

Filing Date

JANUARY 4, 2002

First Named Inventor

Katsuyoshi MATSUURA

Examiner Name

Group / Art Unit

Attorney Docket No.

FUJ99228 CON

METHOD OF PAYMENT (check all that apply)

☒ check ☐ credit card ☐ money order ☐ other ☐ none

☐ Deposit Account

Deposit
Account
Number

50-1123

Deposit
Account
Name

Hogan & Hartson L.L.P.

The Commissioner is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) for this filing

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
740	370	Utility Filing Fee	740.00
330	165	Design filing fee	
510	255	Plant filing fee	
740	370	Reissue filing fee	
160	80	Provisional filing fee	

SUBTOTAL (1) \$740.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
27	-20**= 7	18	126.00
Independent Claims	5	-3**= 2	84
Multiple Dependent			

**or number previously paid, if greater; For Reissues, see below

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description
18	9	Claims in excess of 20
84	42	Independent claims in excess of 3
280	140	Multiple dependent claim, if not paid
84	42	**Reissue independent claims over original patent
18	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$294.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for ex parte reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SRI after Examiner action	
110	55	Extension for reply within first month	
400	200	Extension for reply within second month	
920	460	Extension for reply within third month	
1,440	720	Extension for reply within fourth month	
1,960	980	Extension for reply within fifth month	
320	160	Notice of Appeal	
320	160	Filing a brief in support of an appeal	
280	140	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,280	640	Petition to revive - unintentional	
1,280	640	Utility issue fee (or reissue)	
460	230	Design issue fee	
620	310	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Processing fee under 37 CFR 1.17(q)	
180	180	Submission of Info Disclosure Stmt	
40	40	Recording each patent assignment per property (times number of properties)	
740	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
740	370	For each additional invention to be examined (37 CFR § 1.129(b))	
740	370	Request for Continued Examination	
900	900	Request for expedited examination of a design application	
Other fee (specify)			

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

SUBMITTED BY Complete (if applicable)

Name (Print/Type) Carol W. Burton

Registration No.
(Attorney/Agent)

35,465

Telephone

303.454.2454

Signature

Date

Jan. 4, 2002

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In re Patent Application of:

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Serial No.

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FABRICATION PROCESS THEREOF

Examiner:

Art Unit:

CERTIFICATE OF MAILING BY EXPRESS MAIL

Box Patent Application
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The undersigned hereby certifies that the attached


1. Utility Patent Application Transmittal;
2. Copy of Serial No. 09/551,233 (Specification, claims and abstract (43 pages), Drawings (25 sheets) and signed Declaration);
3. Preliminary Amendment;
4. Fee Calculation Sheet and Check for \$1034.00;
5. Information Disclosure Statement and Form 1449;
6. Certificate of Mailing by Express Mail;
7. Return Card,

relating to the above application, were deposited as "Express Mail," Mailing Label No. EL523797895US with the U.S. Postal Service, addressed to Box: Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231, on January 4, 2002.

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